

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Bea, Carlos T.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 03/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. Court of Appeals for the Ninth Circuit 95 Seventh Street San Francisco, CA 94103		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Managing member	
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 1/23/1990	Judges Retirement Systems, State of California (PERS)
2. 1/23/1990	City and County of San Francisco Deferred Compensation Plan (Aetna)
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income

☐

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	San Francisco Judges' Retirement (pension)	\$116,870.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☒

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Banco Santander (cash)	A	Interest	J	T					
3. ██████████	G	Distribution	O	V					
4. Trees (Spain)		None	N	W					
5. Account #1 (H)									
6. UBS Money Fund, Inc. Deposit A/C (cash)	A	Interest	K	T					
7. Adobe Systems (ADBE)		None	L	T	Sold (part)	02/10/20	J	D	
8. Advance Auto Parts Inc (AAP)	A	Dividend	K	T					
9. Akamai Tech (AKAM)		None	K	T	Sold (part)	04/13/20	J	B	
10.					Sold (part)	12/22/20	J	A	
11. Alcon Inc CHF (ALC)		None	K	T	Buy	04/02/20	J		
12.					Buy (add'l)	04/17/20	J		
13.					Buy (add'l)	04/27/20	J		
14.					Buy (add'l)	04/30/20	J		
15.					Buy (add'l)	05/05/20	J		
16.					Buy (add'l)	07/06/20	J		
17.					Buy (add'l)	08/19/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Alexion Phar (ALXN)		None	K	T	Buy (add'l)	04/20/20	J		
19. Alibaba Group Hldg (BABA)		None	K	T	Sold (part)	10/28/20	J	B	
20.					Sold (part)	11/02/20	J	B	
21. Alphabet Inc CL A (GOOGL)		None			Sold	06/18/20	K	E	
22. Alphabet Inc CL C (GOOG)		None			Sold	08/03/20	L	E	
23. Amazon.com (AMZN)		None	M	T	Sold (part)	03/24/20	J	A	
24.					Buy (add'l)	12/23/20	J		
25. American Express (AXP)	A	Dividend			Sold (part)	11/06/20	J	A	
26.					Sold (part)	11/20/20	J	A	
27.					Sold (part)	11/24/20	J	A	
28.					Sold (part)	12/02/20	J	A	
29.					Sold (part)	12/07/20	J	A	
30.					Sold (part)	12/08/20	J	A	
31.					Sold (part)	12/10/20	J	A	
32.					Sold	12/14/20	J	B	
33. Amgen Inc. (AMGN)	A	Dividend	K	T	Buy	03/13/20	J		
34.					Buy (add'l)	03/16/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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35.					Buy (add'l)	03/19/20	J		
36.					Buy (add'l)	03/24/20	J		
37.					Buy (add'l)	03/27/20	J		
38.					Buy (add'l)	04/20/20	J		
39.					Buy (add'l)	04/22/20	J		
40.					Buy (add'l)	05/22/20	J		
41.					Buy (add'l)	06/05/20	J		
42.					Buy (add'l)	06/18/20	J		
43.					Buy (add'l)	08/12/20	J		
44. Anheuser Busch (BUD)	A	Dividend	K	T	Sold (part)	03/09/20	J		
45. Apple Inc (AAPL)	A	Dividend	L	T	Buy (add'l)	02/27/20	J		
46.					Buy (add'l)	03/10/20	J		
47.					Buy (add'l)	06/25/20	J		
48.					Sold (part)	09/03/20	J	C	
49. Aptiv PLC (APTV)		None	K	T	Buy	02/27/20	J		
50.					Buy (add'l)	03/04/20	J		
51.					Buy (add'l)	03/13/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	05/27/20	J		
53.					Buy (add'l)	06/10/20	J		
54.					Buy (add'l)	06/11/20	J		
55. ASML Holding NV Spon Adr (ASML)		None	K	T	Buy	11/02/20	J		
56. Atlassian Corp PLC Cl A (TEAM)		None	J	T	Buy	11/05/20	J		
57.					Buy (add'l)	11/19/20	J		
58. Biomarin Pharmaceutical Inc (BMRN)		None	K	T					
59. Blackrock Inc (BLK)		None			Sold	01/10/20	K	B	
60. Carrier Global Corp (CARR)		None			Spinoff (from line 133)	04/03/20	J		
61.					Sold	04/14/20	J		
62. C H Robinson Worldwide Inc New (CHRW)	A	Dividend			Buy (add'l)	05/13/20	J		
63.					Buy (add'l)	05/20/20	J		
64.					Buy (add'l)	05/28/20	J		
65.					Sold (part)	09/23/20	J	A	
66.					Sold (part)	10/05/20	J	A	
67.					Sold (part)	10/09/20	J	A	
68.					Sold (part)	10/23/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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69.					Sold (part)	10/26/20	J	A	
70.					Sold (part)	10/30/20	J	A	
71.					Sold (part)	11/02/20	J	A	
72.					Sold	11/18/20	J	A	
73. Comcast (CMCSA)	A	Dividend	K	T	Buy (add'l)	01/15/20	J		
74.					Buy (add'l)	03/06/20	J		
75.					Sold (part)	12/10/20	J	A	
76.					Sold (part)	12/18/20	J	A	
77. Costco Wholesale (COST)	B	Dividend	K	T					
78. Ecolab Inc (ECL)	A	Dividend	K	T	Sold (part)	02/27/20	J	A	
79.					Buy (add'l)	04/06/20	J		
80. Equinix Inc REIT (EQIX)	A	Dividend	K	T					
81. Facebook Inc (FB)		None	L	T	Buy (add'l)	06/18/20	J		
82. Fidelity Natl Info Svcs (FIS)	A	Dividend	K	T	Buy (add'l)	04/06/20	J		
83.					Buy (add'l)	05/11/20	J		
84.					Buy (add'l)	09/04/20	J		
85. Grainger WW (GWW)	A	Dividend	K	T	Buy (add'l)	12/22/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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☐

NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. Home Depot (HD)	A	Dividend	K	T	Sold (part)	04/06/20	J	A	
87.					Buy (add'l)	09/10/20	J		
88. IHS Markit Ltd (INFO)	A	Dividend	K	T	Buy (add'l)	09/01/20	J		
89. Johnson & Johnson (JNJ)	A	Dividend			Sold (part)	03/03/20	J	A	
90.					Sold (part)	03/13/20	J		
91.					Sold (part)	03/19/20	J		
92.					Sold	03/24/20	J		
93. Linde PLC Eur (LIN)	A	Dividend			Sold (part)	02/26/20	J	B	
94.					Sold (part)	02/28/20	J	A	
95.					Sold (part)	03/02/20	J	A	
96.					Sold (part)	03/04/20	J	A	
97.					Sold	03/06/20	J	A	
98. MC Cormick & Co (MKC)	A	Dividend			Sold (part)	03/06/20	J	A	
99.					Sold (part)	03/09/20	J	A	
100.					Sold (part)	03/10/20	J	A	
101.					Sold (part)	03/13/20	J	A	
102.					Sold	03/17/20	J	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Microsoft Corp (MSFT)	A	Dividend	L	T					
104. Monster Beverage Corp New Com (MNST)		None	K	T	Buy	03/05/20	J		
105.					Buy (add'l)	03/10/20	J		
106.					Buy (add'l)	03/13/20	J		
107.					Buy (add'l)	03/17/20	J		
108.					Buy (add'l)	04/14/20	J		
109.					Buy (add'l)	05/12/20	J		
110. Nutanix Inc Cl A (NTNX)		None	J	T	Buy (add'l)	01/22/20	J		
111. Nvidia Corp (NVDA)	A	Dividend	K	T	Sold (part)	04/17/20	J	B	
112.					Sold (part)	04/20/20	J	A	
113. NXP Semiconductors NV Com Eur (NXPI)	A	Dividend	K	T	Buy	07/30/20	J		
114.					Buy (add'l)	08/04/20	J		
115.					Buy (add'l)	09/22/20	J		
116.					Buy (add'l)	09/30/20	J		
117.					Buy (add'l)	12/10/20	J		
118. Oracle Corp (ORCL)	A	Dividend			Sold (part)	01/17/20	J	A	
119.					Sold (part)	03/03/20	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

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D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

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E =\$15,001 - \$50,000

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	03/05/20	J	A	
121.					Sold (part)	03/16/20	J		
122.					Sold	03/25/20	J		
123. Otis Worldwide Corp (OTIS)	A	Dividend			Spinoff (from line 133)	04/03/20	J		
124.					Sold (part)	05/28/20	J		
125.					Sold	05/29/20	J		
126. Palo Alto Network (PANW)		None	K	T	Sold (part)	02/05/20	J	B	
127.					Buy (add'l)	06/05/20	J		
128.					Buy (add'l)	12/14/20	J		
129. Pioneer Natural Resources (PXD)	A	Dividend			Sold (part)	04/20/20	J		
130.					Sold (part)	04/22/20	J		
131.					Sold	04/29/20	J		
132. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	03/03/20	J		
133. Raytheon Technologies Corp (RTX)	A	Dividend	K	T	Buy (add'l)	04/09/20	J		
134.					Buy (add'l)	04/24/20	J		
135.					Buy (add'l)	05/19/20	J		
136. Salesforce.com Inc. (CRM)		None	K	T	Buy (add'l)	02/03/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	02/06/20	J		
138.					Buy (add'l)	05/29/20	J		
139.					Buy (add'l)	06/18/20	J		
140.					Buy (add'l)	08/03/20	J		
141. Schwab, Charles (SCHW)	A	Dividend			Sold (part)	03/05/20	J	A	
142.					Sold (part)	03/09/20	J	A	
143.					Sold (part)	06/05/20	J	A	
144.					Sold (part)	06/12/20	J	A	
145.					Sold (part)	06/16/20	J	A	
146.					Sold	06/24/20	J		
147. Splunk Inc (SPLK)		None	K	T	Buy (add'l)	12/03/20	J		
148.					Buy (add'l)	12/04/20	J		
149. Texas Instruments (TXN)	A	Dividend	K	T					
150. Thermo Fisher (TMO)	A	Dividend	L	T					
151. Uber Technologies Inc (UBER)		None	K	T	Buy (add'l)	05/29/20	J		
152.					Buy (add'l)	09/30/20	J		
153.					Buy (add'l)	12/18/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. Ulta Beauty Inc. (ULTA)		None	K	T	Buy	05/21/20	J		
155.					Buy (add'l)	05/29/20	J		
156.					Buy (add'l)	06/12/20	J		
157.					Buy (add'l)	06/17/20	J		
158.					Buy (add'l)	06/23/20	J		
159.					Buy (add'l)	06/26/20	J		
160.					Buy (add'l)	07/21/20	J		
161.					Buy (add'l)	08/21/20	J		
162.					Sold (part)	11/24/20	J	A	
163. UPS (UPS)	B	Dividend	K	T	Buy (add'l)	06/24/20	J		
164.					Sold (part)	12/07/20	J	A	
165. UnitedHealth Group (UNH)	A	Dividend	L	T	Buy (add'l)	05/19/20	J		
166. UNTD Technologies Corp (UTX)		None			Buy	02/26/20	J		
167.					Buy (add'l)	02/27/20	J		
168.					Buy (add'l)	02/28/20	J		
169.					Buy (add'l)	03/02/20	J		
170.					Buy (add'l)	03/03/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.					Buy (add'l)	03/13/20	J		
172.					Buy (add'l)	03/24/20	J		
173.					Merged (with line 133)	04/03/20	J		
174. Visa Inc (V)	A	Dividend	L	T	Buy (add'l)	08/04/20	J		
175.					Buy (add'l)	10/15/20	J		
176. VM Ware (VMW)		None	K	T	Buy (add'l)	06/18/20	J		
177. Walt Disney Co (DIS)	A	Dividend	K	T	Sold (part)	04/09/20	J		
178. Workday Inc Cl A (WDAY)		None	J	T	Buy	12/07/20	J		
179. Zoetis Inc (ZTS)	A	Dividend	K	T	Buy (add'l)	04/06/20	J		
180. Account #2 (H)									
181. UBS Bank Deposit (cash)	A	Interest	L	T					
182. Account #3 (H)									
183. UBS Bank USA FDIC Insured Deposit (cash) (Y)									
184. UBS Tax-Free Reserves Fd Cl A (STFXX) (cash equivalent)	B	Dividend	O	T					
185. JPMorgan Chase (JPM)	D	Dividend	M	T					
186. Ishares Core High Dividend (HDV)	E	Dividend	O	T					
187. SPDR S&P 500 ETF Tr (SPY)	E	Dividend	P1	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

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B =\$1,001 - \$2,500

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K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

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W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Dodge & Cox Stock Fund (DODGX)	B	Dividend	K	T					
189. California Pub Works 5%, Due 10/01/21 (130685WJ5) (Y)									
190. California St Gen Oblig 5%, due 04/01/20 (13063A4K7) (Y)									
191. California St Pub Works, 5%, Due 04/01/20 (1306852T6)	B	Interest			Redeemed	04/01/20	K		
192. Trustees of the CA St Un RV Pref 5% 05/01/20 (13077DJU7) (X)	A	Interest			Redeemed	05/01/20	K		
193. Cupertino Cal 5%, Due 08/01/20 (231237XV5)	B	Interest			Redeemed	08/01/20	K		
194. East Bay Ca Mud Water 4%, Due 06/01/21 (271014VG4)	A	Interest	K	T					
195. Campbell CA Un High 5% 08/01/21 (134159UR1)	B	Interest	K	T					
196. San Ramon Valley Cal 4%, Due 08/01/21 (799408P52)	B	Interest	L	T					
197. State of California 5%, Due 10/01/21 (13063BPU0)	B	Interest	K	T					
198. Chaffy Cmnty College 5% Due 06/01/22 (157432FX8)	B	Interest	L	T					
199. Los Angeles CA 5%, Due 06/01/22 (53945CBN9)	B	Interest	K	T					
200. East Bay Cal Mut Wtr 5% 06/01/22 (271014XW7)	B	Interest	K	T					
201. San Francisco CA Bay 5% 07/01/22 (797669YP7)	B	Interest	L	T					
202. Napa Valley Ca 4%, Due 08/01/22 (6303615K5)	A	Interest	K	T					
203. Huntington Beach CA 5%, Due 08/01/22 (446222UC3)	B	Interest	K	T					
204. California St Pub Works 5%, Due 03/01/23 (13068LDX0)	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. San Francisco CA 5%, Due 06/15/23 (797646QD1)	A	Interest	K	T					
206. San Diego CA Cmnty 5% 08/01/23 (797272PP0)	A	Interest	K	T					
207. Huntington Beach CA 5%, Due 08/01/23 (446222UD1)	B	Interest	L	T					
208. Bakersfield CA Wastewtr 5% 09/15/23 (05753PCA8)	B	Interest	K	T					
209. California Infrastructure 5%, Due 10/01/24 (13034AEF3)	B	Interest	K	T					
210. Los Angeles CA 5%, Due 07/01/24 (544495ZE7)	B	Interest	L	T					
211. Metropolitan Wtr Dist 5% Due 07/01/24 (59266TLU3)	B	Interest	K	T					
212. Los Angeles CA 5%, Due 08/01/29 (54438CTD4)	B	Interest	K	T					
213. Santa Clara CA 5%, Due 08/01/24 (801546NF5)	B	Interest	K	T					
214. Bay Area Toll Auth CA 5% 04/01/25 (072024UY6)	B	Interest	K	T					
215. Los Angeles CA 5%, Due 07/01/25 (544525QP6)	B	Interest	K	T					
216. Santa Monica-Malibu USD 4% 07/01/25 (802498PY5)	B	Interest	K	T					
217. Pacific Grove CA 5%, Due 08/01/25 (694393NB1)	B	Interest	K	T					
218. Ukiah CA 4%, Due 08/01/25 (903698DT2)	B	Interest	L	T					
219. University of CA, 5%, Due 05/15/26 (91412GUC7)	B	Interest	L	T					
220. Oxnard Cal UHSD 5% 08/01/26 (692039MD9)	B	Interest	K	T					
221. Sacramento Mun Util Dist 5% 08/15/26 (786005WM6)	B	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Bea, Carlos T.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Bay Area Water Supply, 5%, Due 10/01/26 (072031BE6)	C	Interest	L	T					
223. San Mateo CA 5%, Due 06/01/27 (799054GZ8)	C	Interest	M	T					
224. St of California 5% Due 10/01/27 (13063B4N9)	C	Interest	M	T					
225. Alameda County CA 5.250%, Due 12/01/27 (010831CB9)	C	Interest	L	T					
226. Los Gatos-Saratoga CA 5% Due 08/01/28 (545540DH6)	B	Interest	L	T					
227. Bakersfield 5% Due 09/15/28 (05753PCF7)	B	Interest	K	T					
228. CA St Un RV Pref 5%, Due 11/01/28 (13077CUL6) (Y)									
229. California St 5% Due 08/01/29 (13063CVM9)	B	Interest	L	T					
230. Napa Valley 5%, Due 08/01/29 (6303616Y4)	B	Interest	K	T					
231. Northern Ca Pwr 5%, Due 07/01/30 (664845EH3)	B	Interest	K	T					
232. California St 5% Due 08/01/30 (13063C6F2)	B	Interest	L	T					
233. Franklin CA High Yield Muni (FCAMX)	E	Dividend	P1	T					
234. Franklin Global Bond Fund (TPINX)	E	Dividend	O	T					
235. Vanguard CA Intermediate Term Tax-Exempt Fund Admiral (VCADX)	E	Dividend	P1	T	Buy	04/22/20	O		
236. Account #4 (H)									
237. UBS Money Fund, Inc. Deposit A/C (cash)	A	Interest	K	T					
238. Air Prod & Chemical Inc (APD)	B	Dividend	L	T	Buy	02/26/20	K		

1 Income Gain Codes:	A =\$1,000 or less (See Columns B1 and D4)	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes	F =\$50,001 - \$100,000 J =\$15,000 or less (See Columns C1 and D3)	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes	N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000 (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment T =Cash Market	W =Estimated

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239.					Buy (add'l)	02/27/20	K		
240.					Buy (add'l)	02/28/20	K		
241.					Sold (part)	04/20/20	J		
242. Altria Group (MO)	D	Dividend	L	T	Buy (add'l)	03/20/20	K		
243.					Sold (part)	04/20/20	J		
244. Apple Inc (AAPL)	B	Dividend	M	T	Sold (part)	02/26/20	K	D	
245.					Sold (part)	04/20/20	K	D	
246.					Sold (part)	07/24/20	L	E	
247.					Sold (part)	08/25/20	K	E	
248. Berkshire Hathaway (BRK.B)		None	M	T	Sold (part)	04/20/20	K	D	
249.					Buy (add'l)	07/24/20	K		
250. Blackrock Inc (BLK)	C	Dividend	M	T	Sold (part)	04/20/20	K	C	
251. Carinval Corp (CCL)	B	Dividend			Sold	03/20/20	K		
252. Chevron Corp (CVX)	C	Dividend	L	T	Sold (part)	04/20/20	J		
253.					Buy (add'l)	04/24/20	K		
254. Cinn Financial Corp (CINF)	B	Dividend	L	T	Sold (part)	04/20/20	J	C	
255. Cisco Systems (CSCO)	C	Dividend	L	T	Sold (part)	04/20/20	K	D	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. Coca Cola Co (KO)	B	Dividend	K	T	Sold (part)	04/20/20	J	A	
257. Comcast Corp New Cl A (CMCSA)		None	L	T	Buy	12/08/20	L		
258.					Buy (add'l)	12/09/20	J		
259. Crown Castle Int'l (CCI)	C	Dividend	L	T	Sold (part)	04/20/20	K	D	
260. Delta Air Lines Inc DELA New (DAL)	A	Dividend			Sold (part)	04/20/20	J		
261.					Sold	04/24/20	K		
262. Diageo PLC (DEO)	B	Dividend	L	T	Sold (part)	04/20/20	K	C	
263.					Buy (add'l)	10/07/20	J		
264. Domimion Resources (D)	C	Dividend	L	T	Sold (part)	04/20/20	K	B	
265. Fastenal Co (FAST)	C	Dividend	L	T	Sold (part)	04/20/20	K	C	
266.					Sold (part)	08/27/20	K	D	
267.					Sold (part)	08/28/20	K	D	
268. Franklin Resources Inc (BEN)	B	Dividend	K	T	Sold (part)	04/20/20	J		
269. Intel Corp (INTC)	B	Dividend	L	T	Sold (part)	04/20/20	K	D	
270. Johnson & Johnson (JNJ)	C	Dividend	M	T	Sold (part)	04/20/20	K	C	
271.					Buy (add'l)	07/24/20	K		
272.					Buy (add'l)	10/07/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Bea, Carlos T.

Date of Report

03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. Kinder Morgan (KMI)	A	Dividend			Sold (part)	04/20/20	J		
274.					Sold	04/24/20	K		
275. Lowes Companies (LOW)	B	Dividend	M	T	Sold (part)	04/20/20	J	C	
276. Merck & Co (MRK)	C	Dividend	L	T	Sold (part)	04/20/20	K	D	
277. Microsoft Corp (MSFT)	B	Dividend	M	T	Sold (part)	04/20/20	K	E	
278. Nestle SA (NSRGY)	B	Dividend	L	T	Buy (add'l)	03/20/20	J		
279.					Buy (add'l)	03/31/20	J		
280.					Sold (part)	04/20/20	J	C	
281. Nintendo Ltd ADR New Japan ADR (NTDOY)	B	Dividend	L	T	Buy	08/26/20	K		
282.					Buy (add'l)	08/27/20	J		
283.					Buy (add'l)	08/28/20	K		
284. Norfolk Southern (NSC)	B	Dividend	M	T	Sold (part)	04/20/20	K	D	
285. Paccar Inc (PCAR)	B	Dividend			Sold (part)	02/26/20	J		
286.					Sold	02/27/20	K	B	
287. Paychex Inc (PAYX)	B	Dividend	L	T	Sold (part)	04/20/20	J	C	
288. Pfizer Inc (PFE)	C	Dividend	L	T	Sold (part)	04/20/20	K	A	
289. Philip Morris (PM)	C	Dividend	L	T	Buy (add'l)	04/24/20	K		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290.					Buy (add'l)	04/27/20	J		
291.					Sold (part)	04/20/20	J		
292. Target Corp (TGT)	B	Dividend	L	T	Sold (part)	04/20/20	J	D	
293. Texas Instruments (TXN)	C	Dividend	M	T	Sold (part)	04/20/20	J	B	
294.					Buy (add'l)	10/07/20	K		
295. UPS (UPS)	C	Dividend	M	T	Sold (part)	04/20/20	J		
296. Verizon Communications (VZ)	C	Dividend	L	T	Sold (part)	04/20/20	K	B	
297.					Buy (add'l)	07/24/20	K		
298. Viatris Inc (VTRS)		None			Spinoff (from line 288)	11/17/20	J		
299.					Sold	12/15/20	J	A	
300. Wells Fargo & Co (WFC)	B	Dividend			Sold (part)	04/20/20	J		
301.					Sold	10/07/20	K		
302. Account #5 (H)									
303. UBS Money Fund, Inc. Deposit A/C (cash)	A	Dividend	K	T					
304. Adobe Systems (ADBE)		None	K	T	Sold (part)	02/06/20	J	C	
305.					Sold (part)	04/20/20	K	D	
306. Advance Auto Parts Inc (AAP)	A	Dividend	K	T	Sold (part)	04/20/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Buy (add'l)	05/11/20	J		
308. Akamai Tech (AKAM)		None	K	T	Sold (part)	04/13/20	J	B	
309.					Sold (part)	04/20/20	J	D	
310. Alcon Inc (ALC)		None	J	T	Buy	04/02/20	J		
311.					Buy (add'l)	04/16/20	J		
312.					Buy (add'l)	04/27/20	J		
313.					Buy (add'l)	04/30/20	J		
314.					Buy (add'l)	05/05/20	J		
315.					Buy (add'l)	07/06/20	J		
316.					Buy (add'l)	08/19/20	J		
317. Alexion Phar (ALXN)		None	K	T	Buy (add'l)	04/20/20	J		
318. Alibaba Group Holdings LTD (BABA)		None	K	T	Buy (add'l)	04/06/20	J		
319.					Sold (part)	04/20/20	J	B	
320.					Sold (part)	10/28/20	J	B	
321.					Sold (part)	11/02/20	J	B	
322. Alphabet Inc CL A (GOOGL)		None			Sold (part)	04/20/20	J	C	
323.					Sold	06/18/20	J	D	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Bea, Carlos T.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Alphabet Inc CL C (GOOG)		None			Sold (part)	04/20/20	K	C	
325.					Sold	08/03/20	K	D	
326. Amazon.com (AMZN)		None	M	T	Sold (part)	03/24/20	J	A	
327.					Sold (part)	04/20/20	L	E	
328.					Buy (add'l)	12/23/20	J		
329. American Express (AXP)	A	Dividend			Sold (part)	04/20/20	J		
330.					Sold (part)	11/06/20	J	A	
331.					Sold (part)	11/20/20	J	A	
332.					Sold (part)	11/24/20	J	A	
333.					Sold (part)	12/02/20	J	A	
334.					Sold (part)	12/07/20	J	A	
335.					Sold (part)	12/08/20	J	A	
336.					Sold (part)	12/10/20	J	A	
337.					Sold	12/14/20	J	A	
338. Amgen Inc (AMGN)	A	Dividend	K	T	Buy	03/13/20	J		
339.					Buy (add'l)	03/16/20	J		
340.					Buy (add'l)	03/19/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

 NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
341.					Buy (add'l)	03/24/20	J		
342.					Buy (add'l)	03/27/20	J		
343.					Buy (add'l)	04/20/20	J		
344.					Buy (add'l)	08/12/20	J		
345. Anheuser Busch (BUD)	A	Dividend	K	T	Sold (part)	03/09/20	J		
346. Apple Inc (APPL)	A	Dividend	L	T	Buy (add'l)	02/27/20	J		
347.					Buy (add'l)	03/10/20	J		
348.					Sold (part)	04/20/20	K	D	
349.					Buy (add'l)	06/25/20	J		
350.					Sold (part)	09/03/20	J	C	
351. Aptiv PLC (APTV)		None	K	T	Buy	02/27/20	J		
352.					Buy (add'l)	03/04/20	J		
353.					Buy (add'l)	03/13/20	J		
354.					Buy (add'l)	06/10/20	J		
355. ASML Holding NV Spon Adr (ASML)		None	K	T	Buy	11/02/20	J		
356. Atlassian Corp PLC Cl A (TEAM)		None	J	T	Buy	11/05/20	J		
357.					Buy (add'l)	11/19/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. Biomarin Pharmaceutical Inc (BMRN)		None	J	T	Sold (part)	04/20/20	J	A	
359.					Buy (add'l)	09/17/20	J		
360. Blackrock Inc (BLK)		None			Sold	01/08/20	K	B	
361. Carrier Global Corp (CARR)		None			Spinoff (from line 448)	04/03/20	J		
362.					Sold	04/09/20	J		
363. C H Robinson Worldwide Inc New (CHRW)	A	Dividend			Sold (part)	09/23/20	J	A	
364.					Sold (part)	10/05/20	J	A	
365.					Sold (part)	10/09/20	J	A	
366.					Sold (part)	10/23/20	J	A	
367.					Sold (part)	10/26/20	J	A	
368.					Sold (part)	10/30/20	J	A	
369.					Sold (part)	11/02/20	J	A	
370.					Sold	11/18/20	J	A	
371. Comcast (CMCSA)	A	Dividend	K	T	Buy (add'l)	01/15/20	J		
372.					Buy (add'l)	03/06/20	J		
373.					Sold (part)	04/20/20	J		
374.					Sold (part)	12/10/20	J	B	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
375.					Sold (part)	12/18/20	J	A	
376. Costco Wholesale (COST)	A	Dividend	K	T	Sold (part)	04/20/20	J	D	
377. Ecolab Inc (ECL)	A	Dividend	K	T	Sold (part)	02/27/20	J	A	
378.					Buy (add'l)	04/06/20	J		
379.					Sold (part)	04/20/20	J	B	
380. Equinix Inc Reit (EQIX)	A	Dividend	K	T	Sold (part)	04/20/20	J	C	
381. Facebook Inc (FB)		None	L	T	Buy (add'l)	02/04/20	J		
382.					Sold (part)	04/20/20	K	B	
383.					Buy (add'l)	06/18/20	J		
384. Fidelity Natl Info Svcs (FIS)	A	Dividend	K	T	Buy (add'l)	03/06/20	J		
385.					Buy (add'l)	04/06/20	J		
386.					Sold (part)	04/20/20	J		
387.					Buy (add'l)	05/11/20	J		
388.					Buy (add'l)	09/04/20	J		
389. Grainger WW (GWW)	A	Dividend	K	T	Sold (part)	03/09/20	J	A	
390.					Sold (part)	04/20/20	J	C	
391. Home Depot (HD)	A	Dividend	K	T	Buy (add'l)	03/24/20	J		

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
392.					Sold (part)	04/06/20	J	A	
393.					Sold (part)	04/20/20	J	C	
394.					Buy (add'l)	09/10/20	J		
395. IHS Markit LTD (INFO)	A	Dividend	K	T	Sold (part)	04/20/20	J	B	
396.					Buy (add'l)	09/01/20	J		
397. Johnson & Johnson (JNJ)	A	Dividend			Sold (part)	03/03/20	J	A	
398.					Sold (part)	03/13/20	J		
399.					Sold (part)	03/19/20	J		
400.					Sold	03/24/20	J		
401. Linde PLC (LIN)	A	Dividend			Sold (part)	02/26/20	J	A	
402.					Sold (part)	02/28/20	J	A	
403.					Sold (part)	03/02/20	J	A	
404.					Sold (part)	03/04/20	J	A	
405.					Sold	03/06/20	J	B	
406. MC Cormick & Co (MKC)	A	Dividend			Sold (part)	03/06/20	J	A	
407.					Sold (part)	03/09/20	J	A	
408.					Sold (part)	03/10/20	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
409.					Sold (part)	03/13/20	J	A	
410.					Sold	03/17/20	J	A	
411. Microsoft Corp (MSFT)	A	Dividend	L	T	Sold (part)	04/20/20	K	E	
412.					Sold (part)	05/12/20	J	B	
413.					Sold (part)	05/21/20	J	B	
414. Monster Beverage Corp New Com (MNST)	A	Dividend	K	T	Buy	03/05/20	J		
415.					Buy (add'l)	03/10/20	J		
416.					Buy (add'l)	03/13/20	J		
417.					Buy (add'l)	03/17/20	J		
418.					Buy (add'l)	04/14/20	J		
419.					Sold (part)	04/20/20	J		
420.					Buy (add'l)	05/12/20	J		
421. Nutanix Inc Cl A (NTNX)		None	J	T	Buy (add'l)	01/22/20	J		
422.					Sold (part)	04/20/20	J		
423. Nvidia Corp (NVDA)	A	Dividend	K	T	Sold (part)	04/17/20	J	B	
424.					Sold (part)	04/20/20	J	D	
425. NXP Semiconductors NV Com Eur (NXPI)		None	K	T	Buy	07/30/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
426.					Buy (add'l)	08/04/20	J		
427.					Buy (add'l)	09/22/20	J		
428.					Buy (add'l)	09/30/20	J		
429.					Buy (add'l)	12/10/20	J		
430. Otis Worldwide Corp (OTIS)	A	Dividend			Spinoff (from line 448)	04/03/20	J		
431.					Sold (part)	05/28/20	J		
432.					Sold	05/29/20	J		
433. Oracle Corp (ORCL)	A	Dividend			Sold (part)	01/15/20	J	A	
434.					Sold (part)	03/03/20	J		
435.					Sold (part)	03/05/20	J	A	
436.					Sold (part)	03/16/20	J		
437.					Sold	03/25/20	J		
438. Palo Alto Network (PANW)		None	K	T	Sold (part)	02/03/20	J	B	
439.					Sold (part)	04/20/20	J	B	
440.					Buy (add'l)	12/14/20	J		
441. Pioneer Natural Resources (PXD)	A	Dividend			Sold (part)	04/20/20	J		
442.					Sold (part)	04/21/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
443.					Sold (part)	04/22/20	J		
444.					Sold (part)	04/27/20	J		
445.					Sold	04/29/20	J		
446. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	03/03/20	J		
447.					Sold (part)	04/20/20	J	C	
448. Raytheon Technologies Corp (RTX)	A	Dividend	K	T	Buy (add'l)	04/09/20	J		
449.					Sold (part)	04/20/20	J		
450.					Buy (add'l)	04/24/20	J		
451.					Buy (add'l)	05/19/20	J		
452. Salesforce.com Inc (CRIM)		None	K	T	Buy (add'l)	02/03/20	J		
453.					Buy (add'l)	02/06/20	J		
454.					Sold (part)	04/20/20	J	A	
455.					Buy (add'l)	06/18/20	J		
456.					Buy (add'l)	08/03/20	J		
457. Schwab, Charles (SCHW)	A	Dividend			Sold (part)	03/05/20	J	A	
458.					Sold (part)	03/09/20	J	A	
459.					Sold (part)	04/20/20	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
460.					Sold (part)	06/05/20	J	A	
461.					Sold (part)	06/12/20	J		
462.					Sold (part)	06/16/20	J		
463.					Sold	06/24/20	J		
464. Splunk Inc (SPLK)		None	K	T	Sold (part)	04/20/20	J	C	
465.					Buy (add'l)	12/03/20	J		
466.					Buy (add'l)	12/04/20	J		
467. Texas Instruments (TXN)	A	Dividend	K	T	Sold (part)	04/20/20	J	B	
468. Thermo Fisher (TMO)	A	Dividend	K	T	Sold (part)	04/20/20	J	D	
469. Uber Technologies Inc (UBER)		None	K	T	Sold (part)	04/20/20	J		
470. Ulta Beauty Inc (ULTA)		None	K	T	Buy	05/21/20	J		
471.					Buy (add'l)	06/18/20	J		
472.					Buy (add'l)	05/29/20	J		
473.					Buy (add'l)	06/12/20	J		
474.					Buy (add'l)	06/17/20	J		
475.					Buy (add'l)	06/23/20	J		
476.					Buy (add'l)	06/26/20	J		

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Bea, Carlos T.

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03/27/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
477.					Buy (add'l)	07/21/20	J		
478.					Buy (add'l)	08/21/20	J		
479.					Sold (part)	11/24/20	J	A	
480. UPS (UPS)	B	Dividend	K	T	Sold (part)	04/20/20	J		
481.					Buy (add'l)	06/24/20	J		
482.					Sold (part)	12/07/20	J	A	
483. United Health Group (UNH)	A	Dividend	L	T	Buy (add'l)	04/07/20	J		
484.					Sold (part)	04/20/20	K	D	
485.					Buy (add'l)	05/19/20	J		
486. UNTD Technologies Corp (UTX)		None			Buy	02/26/20	J		
487.					Buy (add'l)	02/27/20	J		
488.					Buy (add'l)	02/28/20	J		
489.					Buy (add'l)	03/02/20	J		
490.					Buy (add'l)	03/03/20	J		
491.					Buy (add'l)	03/13/20	J		
492.					Buy (add'l)	03/24/20	J		
493.					Merged (with line 448)	04/03/20	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
494. Visa Inc (V)	A	Dividend	L	T	Sold (part)	04/20/20	K	D	
495.					Buy (add'l)	08/04/20	J		
496.					Buy (add'l)	10/15/20	J		
497. VM Ware (VMW)		None	K	T	Sold (part)	04/20/20	J	B	
498.					Buy (add'l)	06/18/20	J		
499. Walt Disney Co (DIS)	A	Dividend	K	T	Sold (part)	04/09/20	J		
500.					Sold (part)	04/20/20	J		
501. Workday Inc Cl A (WDAY)		None	J	T	Buy	12/07/20	J		
502. Zoetis Inc (ZTS)	A	Dividend	K	T	Buy (add'l)	04/06/20	J		
503.					Sold (part)	04/20/20	J	D	
504. Account #6 (H)									
505. UBS Bank Deposit (cash)	A	Interest	N	T					
506. SPDR S&P 500 ETF TR (SPY)	B	Dividend			Sold	04/20/20	M	C	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Parts I and II: Corresponding reportable assets are included in Part VII.

Part VII, line 3: Valuation was determined by the Los Angeles County Assessor's Appeal Board.

Part VII, line 4: Located on [REDACTED] land.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Carlos T. Bea**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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